

☒ GRANT ☐ COOPERATIVE AGREEMENT

## FINANCIAL ASSISTANCE AWARD

FEDERAL AWARD ID NUMBER

07-06-07189

RECIPIENT NAME

Lewis County

PERIOD OF PERFORMANCE

May 1, 2015 - April 30, 2016

STREET ADDRESS

351 NW North Street

FEDERAL SHARE OF COST

\$ 30,000

CITY, STATE, ZIP CODE

Chehalis, WA 98532

RECIPIENT SHARE OF COST

\$ 30,000

AUTHORITY

Economic Development Reform Act of 1988, As Amended, 42 U.S.C. 3121

TOTAL ESTIMATED COST

\$ 60,000

CFDA NO. AND NAME

11.303 Local Technical Assistance

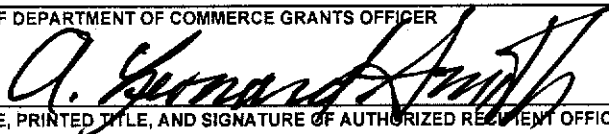
PROJECT TITLE

Local Technical Assistance - Rail Line Feasibility Study

This Award Document (Form CD-450) signed by the Grants Officer constitutes an obligation of Federal funding. By signing this Form CD-450, the Recipient agrees to comply with the Award provisions checked below and attached. Upon acceptance by the Recipient, the Form CD-450 must be signed by an authorized representative of the Recipient and returned to the Grants Officer. If not signed and returned without modification by the Recipient within 30 days of receipt, the Grants Officer may unilaterally withdraw this Award offer and de-obligate the funds.

☒ DEPARTMENT OF COMMERCE FINANCIAL ASSISTANCE STANDARD TERMS AND CONDITIONS (DECEMBER 2014)☐ R & D AWARD☒ FEDERAL-WIDE RESEARCH TERMS AND CONDITIONS, AS ADOPTED BY THE DEPT. OF COMMERCE☒ SPECIAL AWARD CONDITIONS☒ LINE ITEM BUDGET☒ 2 CFR PART 200, UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS, AS ADOPTED PURSUANT TO 2 CFR § 1327.101☒ 48 CFR PART 31, CONTRACT COST PRINCIPLES AND PROCEDURES☐ MULTI-YEAR AWARD. PLEASE SEE THE MULTI-YEAR SPECIAL AWARD CONDITION.☐ OTHER(S):

SIGNATURE OF DEPARTMENT OF COMMERCE GRANTS OFFICER

A. LEONARD SMITH  
Regional Director

DATE

04/02/15

PRINTED NAME, PRINTED TITLE, AND SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL

DATE

SPECIAL AWARD CONDITIONS  
U.S. DEPARTMENT OF COMMERCE  
Economic Development Administration (EDA)

**NON-CONSTRUCTION PROJECTS:** Economic Adjustment Assistance under Section 209 of the Public Works and Economic Development Act of 1965, as amended (42 U.S.C. §3149) PWEDA, Short Term Planning, and Technical Assistance (both UC and Local Technical Assistance) Programs

**Project Title: Feasibility Study on 20 mile rail line between Maytown and Chehalis, WA**

**Recipient Name: Lewis County**

**Project Number: 07-06- 07189**

1. This EDA Award supports the work described in the approved final scope of work, which is incorporated by reference into this Award, as the *Authorized Scope of Work* (Attachment 1). All work on this project should be consistent with this *Authorized Scope of Work*, unless the Grants Officer has authorized a modification of the scope of work in writing through an amendment memorialized through execution of a Form CD-451.

2. The Recipient Contact's name, title, address, and telephone number are:

P.W. "Bill" Schulte, Commissioner  
Phone: (360) 740-1391  
Email:BOCC@lewiscountywa.gov

Lewis County  
351 NW North Street  
Chehalis, WA 98532

3. The Grants Officer is authorized to award, amend, suspend, and terminate financial assistance awards. The Grants Officer is:

A. Leonard Smith  
Regional Director  
Fax: (206) 220-7657

Economic Development Administration  
Seattle Regional Office  
915 Second Avenue, Room 1890  
Seattle, Washington 98174-1012

4. The Federal Program Officer (Area Director) oversees the programmatic aspects of this Award. The Federal Program Officer is:

Richard Manwaring  
Area Director  
Phone: (206) 220-7665  
FAX: (206) 220-7669  
Email: [RManwaring@eda.gov](mailto:RManwaring@eda.gov)

Economic Development Administration  
Seattle Regional Office  
915 Second Avenue, Room 1890  
Seattle, Washington 98174-1012

5. The Project Officer is responsible for day-to-day administration and liaison with the Recipient and receives all reports and payment requests. The Project Officer is:

Frances Sakaguchi Economic Development Specialist Phone: (206) 220-7693 FAX: (206) 220-7669 Email: <a href="mailto:FSakaguchi@eda.gov">FSakaguchi@eda.gov</a>	Economic Development Administration Seattle Regional Office 915 Second Avenue, Room 1890 Seattle, Washington 98174-1012
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6. **ADDITIONAL INCLUDED DOCUMENTS:**

In addition to the regulations, documents, or authorities incorporated by reference on the Financial Assistance Award (Form CD-450) the following additional documents are included with and considered to be part of the Award's terms and conditions:

- Authorized Scope of Work (Attachment 1); and
- Authorized Staff Positions/Staffing Plan (N/A).

Should there be a discrepancy among these documents the Special Award Conditions (this document) and associated attachments hereto shall control.

7. **PROJECT DEVELOPMENT TIME SCHEDULE:** The Recipient agrees to the following Project development time schedule:

Return of Executed Financial Assistance Award	due no later than 30 calendar days after receipt of Form CD-451
Submission of Mid-Term Narrative Project Report	November 30, 2015
Submission of Mid-Term Financial Report (SF 425)	November 30, 2015
Authorized Award End Date	April 30, 2016
Submission of Final Narrative Project Report	May 31, 2016
Submission of Final Financial Report (SF 425)	May 31, 2016

The Recipient shall diligently pursue the development and implementation of the Project upon receipt of an EDA Award so as to ensure completion within this time schedule. Moreover, the Recipient shall promptly notify EDA in writing of any event which could substantially delay meeting any of the proscribed time limits for the Project as set forth above. The Recipient further acknowledges that failure to meet the development time schedule may result in EDA's taking action to terminate the Award in accordance with the regulations set forth at 15 C.F.R. § 14.62 or 15 C.F.R. § 24.43, as applicable.

## 8. PROJECT REPORTING AND FINANCIAL DISBURSEMENTS INSTRUCTIONS:

- A. **AWARD DISBURSEMENTS: Reimbursement basis only:** EDA will make Award payments using the Department of Treasury's Automated Standard Application for Payments (ASAP) system. The Recipient is required to furnish documentation as required by ASAP including but not limited to Recipient and Requestor Identification Numbers. Complete information concerning the ASAP system may be obtained by visiting [www.fms.treas.gov/asap](http://www.fms.treas.gov/asap).

In order to receive payments, Recipients must submit a Form SF-270 "*Request for Reimbursement*" for the applicable period electronically to the Project Officer, who will review and process the request.

Please note that prior to the initial disbursement, Recipients must complete the attached Form SF-3881, "*ACH Vendor/Miscellaneous Payment Enrollment Form*" and submit it to NOAA's Accounting Office by FAX to 301-528-3675 (*FAX is required to secure confidentiality of sensitive information*). The form must be completed by the respective parties (EDA, Recipient Bank, and Recipient) at the start of each new award.

### B. REPORTS:

- a. *Project Progress Reports:* The Recipient agrees to provide the Project Officer with Project Progress Reports, which will communicate the important activities and accomplishments of the Project, on a semi-annual basis for the periods ending **October 31** and **April 30**, or any portion thereof. Reports are due no later than 1 month following the end of the period.

Performance Progress Reports should be submitted to EDA in an electronic format no later than the dates outlined above in a concise, clear format, which outlines the following information in no more than 3-6 pages in length:

- i. Provide a clear, concise overview of the activities undertaken during the Project Period;
- ii. Document accomplishments, benefits, and impacts that the Project and Activities are having. Recipients should note specific outcomes where activities have led to job creation/retention, private investment, increased regional collaboration, engagement with historically excluded groups or regions, enhanced regional capacity, and other positive economic benefits;
- iii. Highlight any upcoming or potential press events or opportunities for collaborative press events to highlight benefits of the EDA investment;
- iv. Compare progress with the project timeline, explaining any departures from the targeted schedule, identifying how these departures are going to be remedied, and projecting the course of work for the next period;
- v. Outline challenges that currently impact or could impact progress on the grant over the next reporting period and identify ways to mitigate this risk; and

- vi. Outline any areas where EDA assistance is needed to support the project or any other key information that would be helpful for your EDA Project Officer to know.

Final Project Reports may be posted on EDA's website, used for promotional materials or policy reviews, or may be otherwise shared. Recipients should not include any copyrighted or other sensitive business information in these reports. There is no specific page limit for Final Project Reports; however, such reports should concisely communicate key project information, and should:

- i. Outline the specific regional need that the project was designed to address and update on progress made during the reporting period that will mitigate need and advance economic development;
  - ii. Provide a high-level overview of the activities undertaken;
  - iii. Detail lessons learned during the project period that may be of assistance to EDA or other communities undertaking similar efforts;
  - iv. Outline the expected and actual economic benefits of the project as the time that the report is written; and
  - v. Any other key information from the relevant project period.
- b. Financial Reports: The Recipient shall submit a "Financial Status Report" (Form SF-425) on a semi-annual basis for the periods ending **October 31** and **April 30**, or any portion thereof, for the entire project period. Form SF-425 (and instructions for completing this form) is available at: [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html). Reports are due no later than 1 month following the end of the period.

A final Form SF-425 must be submitted no more than 90 calendar days after the expiration date of the Award (e.g., the Award end date specified on the Form CD-450 or Form CD-451). Final financial reports should follow the guidance outlined by the form instructions for submitting mid-term financial reports, but should ensure that all fields accurately reflect the total outlays for the entire project period, and that all matching and program income (if applicable) is fully reported. Final grant rate and determinations of final balances owed to the government will be determined by the information on the final Form SF-425, so it is imperative that this final financial form is submitted in a timely and accurate manner.

9. **ALLOWABLE COSTS AND AUTHORIZED BUDGET:** Total allowable costs will be determined at the conclusion of the award period in accordance with the administrative authorities applicable pursuant to the *Financial Assistance Award* (Form CD-450), including the applicable *Cost Principles* and *Uniform Administrative Requirements*, after Final Financial Documents are submitted.

Line Item Budget:

A. Under the terms of the Award, the total approved/authorized budget is:

Federal Share (EDA Funds)	\$30,000
Non-Federal Matching Share	<u>\$30,000</u>
Total Project Cost	\$60,000

B. Under the terms of this Award, the total approved line item budget is:

Item	Federal Share	Non-Federal Share	Total
1. Personnel	\$0	\$0	\$0
2. Fringe Benefits	\$0	\$0	\$0
3. Travel	\$0	\$0	\$0
4. Equipment	\$0	\$0	\$0
5. Supplies	\$0	\$0	\$0
6. Contractual	\$30,000	\$24,000	\$54,000
7. Construction	\$0	\$0	\$0
8. Other	<u>\$0</u>	<u>\$6,000</u>	<u>\$6,000</u>
Total Direct Charges	\$30,000	\$30,000	\$60,000
9. Indirect Charges	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Grand Total	\$30,000	\$30,000	\$60,000

10. **FEDERAL SHARE:** The EDA participation in total eligible project costs will be limited to the EDA grant amount or the EDA share of total allowable project costs, based on the area's grant rate eligibility at the time of award, whichever is less.
11. **MATCHING SHARE:** The Recipient agrees to provide the Recipient's non-Federal Matching Share contribution for eligible project expenses in proportion to the Federal share requested for such project expenses. The Recipient also certifies that, in accepting the Financial Assistance Award, the Recipient's Matching Share of the project costs is committed and unencumbered, from authorized sources, and shall be available as needed for the project.

**12. REFUND CHECKS, INTEREST, OR UNUSED FUNDS:** Treasury has given the EDA two options for having payments deposited to EDA's account:

- i. The first one is Pay.Gov. This option allows the payee to pay EDA through the Internet. The payee will have the option to make a one-time payment or to set up an account to make regular payments.
- ii. The second option is Paper Check conversion. All checks must identify on their face the name of the DOC agency funding the award, award number, and no more than a two-word description to identify the reason for the refund or check. A copy of the check should be provided to the EDA Project Officer. This option allows the payee to send a check to NOAA's Accounting Office, who processes EDA's accounting functions at the following address:

U.S. Department of Commerce  
National Oceanic and Atmospheric Administration  
Finance Office, AOD, EDA Grants  
20020 Century Boulevard  
Germantown, MD 20874

The accounting staff will scan the checks in to an encrypted file and transfer to the Federal Reserve Bank, where the funds will be deposited in EDA's account. While this process will not be an issue with most payees, there are occasionally issues for entities remitting funds to EDA via check. If you are remitting funds to EDA via check, please make note of the following:

- If a check is sent to EDA, it will be converted into an electronic funds transfer by copying the check and using the account information to electronically debit your account for the amount of the check. The debit from your account will usually occur within 24 hours and will appear on your regular account statement.
- EDA will not return your original check; the original will be destroyed and a copy will be maintained in our office. If the Electronic Funds Transfer (EFT) cannot be processed for technical reasons, the copy will be processed in place of the original check. If the EFT cannot be completed because of insufficient funds, EDA will charge you a one-time fee of \$25.00, which will be collected by EFT.

13. **PLANNING COORDINATION:** In keeping with regional economic development principles, Recipients should coordinate economic development planning and implementation projects with other economic development organizations affecting the area, especially EDA-funded recipients such as State and Urban planning grantees, adjoining Economic Development Districts (EDDs) and Indian Tribes, and University Centers (UCs).
14. **PROCUREMENT:** The Recipient agrees that all procurement transactions shall be in accordance with Department of Commerce Regulations at 15 C.F.R § 24.36 (State and Local Governments) or 15 C.F.R. § 14.44 (Higher Education, Hospitals, other Non-Profits), as applicable.
15. **NONRELOCATION:** In signing this award of financial assistance, Recipient(s) attests that EDA funding is not intended by the Recipient to assist its efforts to induce the relocation, or the movement of existing jobs from one region to another region in competition with those jobs. In the event that EDA determines that its assistance was used for such purposes, EDA retains the right to pursue appropriate enforcement action in accord with the Standard Terms and Conditions of the Award, including suspension of disbursements and termination of the award for convenience or cause, which may include the establishment of a debt requiring the Recipient to reimburse EDA.
16. **PERFORMANCE MEASURES:** The Recipient agrees to report on program performance measures and program outcomes in such form and at such intervals as may be prescribed by EDA in compliance with the Government Performance and Results Act (GPRA) of 1993, and the Government Performance and Results Modernization Act of 2010. Recipients are to retain sufficient documentation so that they can submit these required reports. Failure to submit this required report can adversely impact the ability of the Recipient to secure future funding from EDA.

Performance measures and reporting requirements that apply to program activities funded by this investment will be provided in a separate GPRA information collection document, if applicable. EDA staff will contact Recipients in writing within a reasonable period prior to the time of submission of the reports with information on how this data should be submitted.



Attachment 1

Project # 07-06-07189

### **Lewis County Scope of Work**

Lewis County and its approved partners per the grant will conduct an in-depth feasibility analysis study focusing on the potential purchase and operation of a twenty mile portion of the Tacoma Rail Line between Maytown and Chehalis, WA.

The purpose of the study is to determine the potential economic gain to the local region.

The study will be conducted by a contracted consultant which Lewis County has the responsibility for procurement, selection and oversight under US Department of Commerce federal regulations and procedures.

Attachment 2

Project # 07-06-07189

### **Lewis County Staffing Plan**

There is no authorized staffing identified in the application as the study will be conducted by a contracted consultant. Lewis County however has oversight responsibility for the contractor to assure all work follow federal regulations and procedures.

### **Attachment 3**

Project # 07-06-07189

#### **Special Award Conditions**

1. Distribution of funds will be contingent upon compliance with the Standard Terms and Conditions of this award. In addition, 15 CFR Part 14.28, the grantee may charge to the grant only allowable costs resulting from obligations incurred during the funding period.
2. This award is based on a reimbursement structure only. The SF-270, request for reimbursement form must be used to receive funds. This can only occur once the grantee has registered with ACH and enrolled in ASAP. The SF270 form will be submitted to the regional office. Project officer must approve all reimbursement requests. The SF270 form can be found at:  
  
<https://www.whitehouse.gov/sites/default/files/omb/grants/sf270.pdf>
3. Recipient agrees that all procurement transactions shall be in accordance with the applicable Department of Commerce Regulations at 15 C.F.R. 24.36; 48CFR PART 31. Note 2 CFR Part 200 will be effective December 26, 2014.
4. Procurement includes the process of going out to bid, which will not be reimbursed unless the process occurs during the funding period.
5. Grantee will submit as part of their reporting requirements a copy of the RFP for the contractor/consultant.

Financial registration forms for new grantees:

1. Please fill out an ACH Vendor/Miscellaneous Payment Enrollment form found at:

<http://fms.treas.gov/pdf/3881.pdf>

Submit this ACH form via secured email to: [edagrants@noaa.gov](mailto:edagrants@noaa.gov)

2. Please enroll your organization with the Department of Treasury ASAP system for access to fund reimbursement. The website is:

[http://www.fiscal.treasury.gov/fsservices/gov/pmt/asap/asap\\_home.htm](http://www.fiscal.treasury.gov/fsservices/gov/pmt/asap/asap_home.htm)



**U. S. DEPARTMENT OF COMMERCE**

Economic Development Administration  
915 Second Avenue, Room 1890  
Seattle, WA 98174  
Fax: 206.220.7669  
Voice: 206.220.7660

APR - 2 2015

In Reply to  
Investment No.: 07-06-07189

Mr. P.W. "Bill" Schulte, Commissioner  
Lewis County  
351 NW North Street  
Chehalis, WA 98532

Dear Mr. Schulte:

I am pleased to inform you that the Department Of Commerce's Economic Development Administration (EDA) has approved your application for a \$30,000 EDA investment to support the rail feasibility study for the twenty mile short line between Maytown and Chehalis in Lewis County, WA .

Enclosed are three signed copies of the Financial Assistance Award. Your agreement to the terms and conditions of the award should be indicated by the signature of your principal official on each of the signed copies of the Financial Assistance Award. Two of the executed copies should be returned to A. Leonard Smith, Regional Director, Economic Development Administration, 915 Second Avenue, Suite 1890, Seattle, Washington, 98174. If not signed and returned within 30 days of receipt, EDA may declare the award null and void.

Please do not make any commitments in reliance on this award until you have carefully reviewed and accepted the terms and conditions. Any commitments entered into prior to obtaining the approval of EDA in accordance with its regulations and requirements will be at your own risk.

EDA's mission is to lead the Federal economic development agenda by promoting innovation and competitiveness, preparing American regions for growth and success in the worldwide economy. EDA implements this mission by making strategic investments in the nation's most economically distressed regions that encourage private sector collaboration and the creation of jobs. EDA investments are results driven, embracing the principles of technological innovation, entrepreneurship and regional development.

I share your expectations regarding the impact of this investment and look forward to working with you to meet the economic development needs of your community.

Sincerely,

  
A. Leonard Smith  
Regional Director

Enclosures